

# BEST AVAILABLE COPY

B4

**PCT**

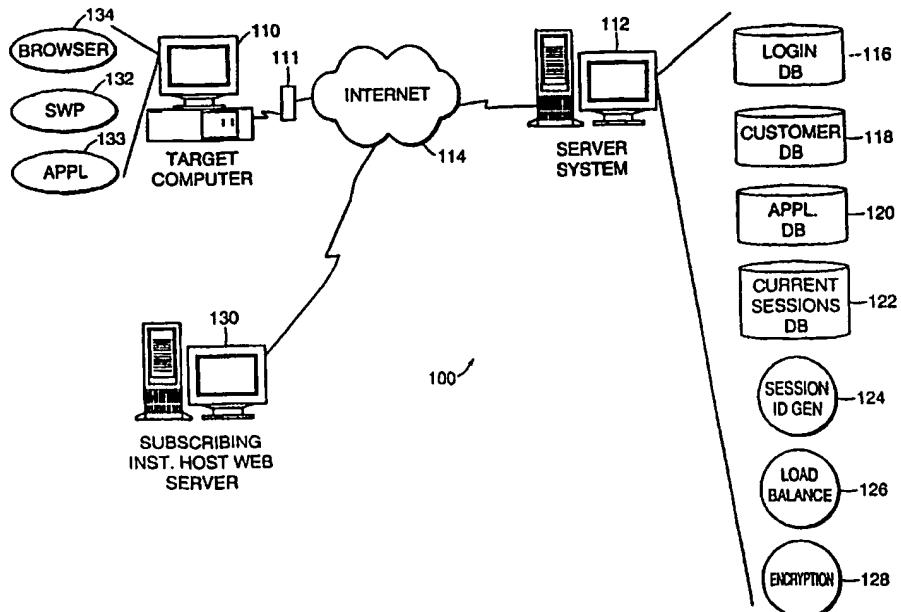
WORLD INTELLECTUAL PROPERTY ORGANIZATION  
International Bureau



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification <sup>7</sup> :	A2	(11) International Publication Number:	WO 00/62161
G06F 9/00		(43) International Publication Date:	19 October 2000 (19.10.00)
(21) International Application Number:	PCT/US00/09833	(81) Designated States:	AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW, ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).
(22) International Filing Date:	12 April 2000 (12.04.00)	(30) Priority Data:	60/128,828 12 April 1999 (12.04.99) US
(71) Applicant ( <i>for all designated States except US</i> ):	SOFTWARE-WOW.COM, INC. [US/US]; 332 Congress Street, 5th floor, Boston, MA 02210 (US).	(72) Inventors; and	
(75) Inventors/Applicants ( <i>for US only</i> ):	GRESCHLER, David, M. [US/US]; 28 Laurel Road, Sharon, MA 02067 (US). MYSLIWY, Owen [US/US]; 7 Melvin Avenue, Beverly, MA 01915 (US). SCHAEFER, Stuart [US/US]; 25 Atherton Street, No. 7, Somerville, MA 02143 (US).	(74) Agents:	HOUSTON, J., Grant et al.; Hamilton, Brook, Smith & Reynolds, P.C., Two Militia Drive, Lexington, MA 02421 (US).

### (54) Title: METHOD AND SYSTEM FOR SERVING SOFTWARE APPLICATIONS



### (57) Abstract

A method and system for serving software applications to remote clients across the internet, for example, is disclosed that preferably utilizes standard, SMB (server message block) protocols, which are available in commercial operating systems. Further, an associated business method is described in which subscribing institutions can out-source the application serving to a third party institution, transparently.

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakhstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LI	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

## METHOD AND SYSTEM FOR SERVING SOFTWARE APPLICATIONS

### RELATED APPLICATIONS

This application claims the benefit of U.S. Provisional Application No. 60/128,828, filed April 12, 1999 the entire teachings of which are incorporated 5 herein by this reference.

### BACKGROUND OF THE INVENTION

Internet or network delivery of application-program-style functionality has become increasingly important. The ubiquitous client-server platform typically requires that the application program code be loaded and installed on the client 10 computers. This requirement, however, is viewed as substantially increasing the installation and maintenance costs associated with computer networks. Moreover, many client operating system platforms are deemed unstable. Network delivery of applications programs would enable the code to be maintained only on the server-side, rather than distributed throughout the network.

15        Additionally, there are a number of different business models that are pulling for network delivery of application program functionality. First, it can be used in software sales. A web-based software-sales institution can utilize the Internet, or other public network, to allow customers to "test-drive" the programs, and thereby increase sales. A second justification for deployment arises in the thin-client/network-computer model where the code required for the application-functionality and user data reside on the server. In this situation, when required at the thin client, the application code is provided by the server on an as-needed basis. These servers can even be off-site in an application service provider (ASP) environment. Another justification surrounds the possibility to "rent" programs to 20 users. A large number of potential users may have only limited requirements for certain classes of application programs. Their individual requirements may not justify investment in the typically expensive programs or not justify the costs of client installation. The thought here is to enable these users to rent access to the 25

application programs, preferably via the Internet, to generate new revenue streams for the application software companies.

One solution to providing application program functionality to the client computer via the network involves expanding the functionality of the browser. For 5 example, the term "plug-in" is used to describe a browser code extension. ActiveX and Java are two of the most common code platforms for the browser.

While the solution to provide application program functionality via the browser is attractive in its simplicity, a number of problems exist under current technology. First, providing sophisticated ActiveX and/or Java functionality is still 10 in its infancy and largely untried. Further, it ignores the wealth of existing, stable application programs that have been written and are being written to run directly on operating systems, such as Windows 95/98/NT/2000, Unix, Linux, and Mac OS's.

Related, but limited, solutions attempt to allow potential buyers, for example, to "test drive" the program over the internet. Typically, one of two 15 techniques have been used. First, the selling institution may allow the potential owner to download a trial-version of the program. This version may have reduced capabilities and/or a limited lifetime, where the program is disabled after it has been invoked a set number of times, or after a specified date. This process, however, is complex, often requiring a multi-step process in which the user must accept the 20 download, pick a save-as location, watch the download, quit the browser, find the file on the hard drive, and run an installer, for example. Another technique is to extend the potential purchaser's browser in some fashion using, for example, a Java applet. This approach, however, shares the problems discussed previously relative to ActiveX and Java.

25 Against this backdrop, most modern computer/network operating systems allow for the execution of code that is stored remotely from the client computer. The systems allow a client computer to mount a physically remote drive, residing on a server or peer computer, and execute the application program residing there.

Typically, however, these capabilities of the operating system are only utilized within an institution where an umbrella network management exercises control over both the clients and the servers to realize the necessary security levels, prevent corruption of data on the server side, and configure the client computers to access

5 the server-stored code.

#### SUMMARY OF THE INVENTION

The present method and system are directed to serving applications over a computer network from an application server system to a target computer. A helper application is provided that handles client configuration to facilitate

10 communications. As a result, in the preferred embodiment, standard networking protocols can be used.

In general, according to one aspect, the invention features a method for serving applications over a computer network from an application server system to a target computer. The method includes the target computer signaling the server system with a request for an application. The server system responds to the request by transferring an application descriptor to the target computer. The application descriptor is read by a helper application executing on the target computer. The helper application controls the target computer to execute the application, which resides on the server system.

15

20 In specific embodiments, the target computer signals the server system with the request for the application by user selection of the link, which is displayed by a browser and associated with the application. Preferably, the application link contains an application identifier that identifies the requested application to the server system and may further contain a session I.D., a user I.D., and a subscribing institution ID. Typically, activating this application link triggers the downloading of the application descriptor from the server system to the target computer. Preferably, the application descriptor is encrypted prior to transmission.

25

In the preferred embodiment, the helper application is invoked in response to receipt of the application descriptor on the target computer. Thereafter, transaction modes may be set and advertisements served to the target computer.

In general, according to another aspect, the invention can also be

5 characterized in the context of an application serving system that operates across a computer network. The system comprises a target computer that requests an application. A server system is provided that responds to the request by transferring an application descriptor to the client computer. A helper process executing on the target computer reads this application descriptor and controls the target computer to execute the application, which resides on the application server system.

10

The above and other features of the invention including various novel details of construction and combinations of parts, and other advantages, will now be more particularly described with reference to the accompanying drawings and pointed out in the claims. It will be understood that the particular method and device

15 embodying the invention are shown by way of illustration and not as a limitation of the invention. The principles and features of this invention may be employed in various and numerous embodiments without departing from the scope of the invention.

#### BRIEF DESCRIPTION OF THE DRAWINGS

20 In the accompanying drawings, reference characters refer to the same parts throughout the different views. The drawings are not necessarily to scale; emphasis has instead been placed upon illustrating the principles of the invention. Of the drawings:

Fig. 1 is a schematic illustration showing the application serving system and

25 specifically the interaction between the target client computer, the host Web server computer of the third-party subscribing institution, and the server system, according to the present invention;

Fig. 2 is a flow diagram illustrating the method by which the serving of applications to the target computer is initiated at the third-party subscribing institution according to the present invention;

Fig. 3 is a flow diagram illustrating the steps performed by the server system  
5 when the target computer requests an application;

Fig. 4 is a flow diagram showing the launch process for the helper application, or software player, on the target client computer;

Figs. 5A and 5B are flow diagrams showing the application launch process that is performed on the target client computer;

10 Figs. 6A-6C are flow diagrams showing the steps associated with the application monitoring process according to the present invention; and

Fig. 7 is a flow diagram illustrating the application shutdown process according to the present invention.

#### DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

15 Fig. 1 shows an application serving system 100, which has been constructed according to the principles of the present invention.

Generally, the application serving system 100 comprises the user, target client computer 110 that connects to a server system 112 and subscribing institution host Web Server 130, over a network 114.

20 Client computer 110, Web server 130, and server system 112 implement a network protocol layer to communicate across the network. In a preferred embodiment, network 114 is the Internet, or other public or private network, and the network protocol layers are TCP/IP and NetBios. Other network configurations and network protocols layers, however, could be implemented in place or in addition to  
25 those associated with the Internet such as those provided in other public or private networks and internetwork systems.

The target, client computer 110 is a PC computer in one implementation. It operates Microsoft Windows 95/98/NT/2000/CE operating system or other OS

providing compatible API's (application programming interfaces), on an Intel processor/IBM-compatible hardware platform. Other alternatives, however, are possible such as open source operating system platforms, such as Linux, or Apple MAC OS's or other operating systems that provide the API support for these 5 operating systems. Still further alternatives include embedded OS platforms such as Windows CE and Palm OS's, or similar reduced code-footprint systems.

The target computer 110 preferably has preinstalled application programs. In the present implementation, a browser 134, such as the ubiquitous Netscape Navigator or Microsoft Explorer browsers, is installed. Additionally, the target 10 computer also preferably has a helper application or software player 132. Such pre-installation can be performed typically at a website hosted by the institution that operates the server system 112 or also the subscribing institution 130.

The subscribing institution, which maintains the host web server 130, is typically a third party relative to the institution, which maintains the server system 15 112 in one anticipated business model. The subscribing institution has a requirement, or desires to provide, application programs and the related functionality to the user at the target computer 110, but, rather than providing this functionality itself, the subscribing institution outsources this to the institution operating the server system 112. Nonetheless, the subscribing institution typically has an Internet 20 presence. Specifically, it typically maintains a website/websites that offer the application programs to users.

From one implementation, the server system 112 is maintained by an institution that provides application programs to users as a paid service to subscribing institutions. Nonetheless, it should be appreciated that the technology of 25 the present invention also has applicability to the business model where the server system 112 and host Web server 120 are maintained by the same institution. In this context, the institution does not wish to out-source the work associated with the serving of the applications, but wishes to provide this functionality through in-house expertise.

Specifically the service institution's server system 112 maintains a log-in database 116, a customer database 118, an application database 120, and a current sessions database 122. The server system additionally executes a session ID generator 124, a load balancing process 126, and an encryption process 128.

5        Fig. 2 shows the steps performed by or at the target computer 110 to initiate the serving of an application from the server system 112. Specifically, a user at the target computer identifies a desired application to the target computer 110 in step 210. In the typical case, the browser 134 is executing on the target computer 110 and a link is displayed in the browser window. This link is identified and/or  
10      associated with the application that the user desires to execute on the target computer. The user, operating a graphical pointing device, such as a mouse, controls the target computer's graphical user interface to select or "click-on" the link for the desired application.

15      Selection of the link in step 210 causes the browser 134 to interrogate the target computer's operating system to determine whether the appropriate software player (SWP) has been installed on the target computer in step 212. This interrogation is performed in one embodiment by an application programming interface (API) call to check the operating system registry. Applets, ActiveX, or scripting, however, are other modalities for performing the interrogation.

20      If it is determined that the software player has not been installed on the target computer 110, an installation process is initiated in step 214. In the typical implementation, this installation process comprises either pointing the browser 134, or a new instantiation of the browser, with a new universal resource locator (URL), to website that supports the installation of the software player through a download,  
25      for example.

The install/download is simplified for ease of operation. In one implementation, a Java applet is used that allows installation and writing to the drive--if permission is provided. A download bar is displayed on the browser

screen. When the player 132 has been installed, it begins to run and will launch the application that was initially requested by the user. As a result, the user at the client computer 110 observes the invocation of the application, rather than the software player alone.

5       Once there is an installed software player, the browser 134 is pointed with a URL to the server system 112, in step 216. The URL link contains: 1) a unique identifier, or number, associated by the server system 112 with the application requested (TitleId); 2) a unique session ID (SID); and 3) an identifier that identifies the subscribing institution (SubInstId). Typically, the subscribing institution is the  
10 company that operates the host Web server computer 130, which served the web page that originally contained the link associated with the application that was desired by the user of the target computer 110.

The SID is a unique session ID that is specific to the link and the specific session. A session ID that served as part of the original link provides a token from  
15 the web site that tells indicates that the subscribing institution has authenticated this specific session. This is important for the rental/subscription model where they will be authenticating users with credit cards or user names and passwords.

Fig. 3 shows the steps performed by the server system 112 when the target computer 110 requests an application by transmitting the URL containing the SID,  
20 TitleId, and SubInstId to the server system 112 over the network 114.

Specifically, in step 310, the server system 112 receives the URL, SID, TitleId, and SubInstId. The server system then accesses the log-in database 116 to verify that: 1) the user at the target computer 110 is a valid user by reference to the session Id field (SID); and 2) the subscribing institution is a currently valid  
25 subscribing institution by reference to the SubInstId field in step 312. If either the user or subscribing institution is invalid (step 314), an error is returned to the target computer 110 in the step 316 by the server system 112.

-9-

If the user and subscribing institution are verified, the server system 112 then proceeds to construct an application descriptor or data file that will coordinate the operation of the target computer 110 and the server system 112 across the network. 114. In the present implementation, the application descriptor is a file that is named 5 with a ".WOW" suffix, which is the MIME type.

Specifically, in step 318, the server system 112 accesses the customer database 118 using the SID to obtain information regarding the session.

Next, in step 320, the application database 120 is accessed. This contains information concerning the application, which was requested by the user. For 10 example, the application database 120 contains information such as minimum system requirements (RAM, processing power, etc.) that are required by the application on the target computer 110 and the application's media weight or processing requirements on the server system 112 associated with each instantiation.

In step 322, the load balancing process 126 is executed. The server system 15 112 selects a host computer within the server system that will be primarily responsible for serving the application over the network 114 to the target computer 110. In the typical embodiment, the server system comprises multiple host Web and associated application servers. The selected host computer is co-located with the other host computers in one implementation; alternatively, components or servers of 20 the server system are located in a server farm and/or geographically local to the target computer 110. In this last case, the load balancing process selects the host computer based on geographic proximity, in addition to load, to reduce latency.

Typically, the load balancing checks the current session's database 122 to determine which host server in the server system 112 has the least load. The list of 25 servers serving the specific application is part of the title's application description. Determination of which server to use is based on the number of concurrent connections to each server and the media weight of each application and also the user's physical geographic location based on the IP address.

Next, in step 324, the current sessions database 122 is updated in step 324 with the current session being added. Specifically, the session ID, the user's IP (internet protocol) address, the application title, the media weight, and the server assigned to the session is added. This database is used by the load balancing process 5 126, and by a watch dog process that watches the connections to each host server in the server system, to verify that all connections are from authorized users.

In step 326, the application descriptor is encrypted. Minimally, this application descriptor comprises the host address of the host computer of the server system 112, which was assigned by the load balancing process 126 along with a 10 session ID assigned as part of the update of the current session database 122. Finally, the application descriptor is sent to the target computer 110 in step 328.

Fig. 4 shows the launch process for the helper application or software player 132.

Upon receiving the .WOW application descriptor file, the client launches the 15 software player 132 in step 409. This is a helper application that performs the bulk of the client-side application management.

In the preferred implementation, the receipt of the .WOW descriptor file automatically launches the software player. This is accomplished by configuration 20 of MIME types during the software player's initial installation. In the Windows 95 operating system, MIME types are set in the registry, associating files with a specified suffix, here: WOW, that are to be opened with the software player 132.

Many of the methods used employ Windows API Functions to control the executed applications. In one embodiment of the invention, the Buddy API Xtra (a library of calls employed by programmers of Macromedia Director) is used to access 25 Windows API functions. Specifically, the initial writing to the registry is done with the baWriteRegNumber and baWriteRegString commands in Buddy API.

In step 410, the registration status of the software player 132 with respect to the server system 112, or institution operating the system, is determined. If it has not been registered and/or properly licensed, a registration box is displayed on the graphical user interface of the target computer 110 in step 412. The user is either 5 requested or required to complete the registration information box, depending on the implementation. Once completed, the registration information is sent, in step 414, to the server system 112 over network 114.

After registration, the status of any firewall proxy for firewall 111 is interrogated in step 416. If it is not valid, a proxy information dialog box is 10 displayed in step 418, and the user is requested to complete it on the target computer 110. Once completed, the proxy information is updated in step 420.

Next, the status of the application descriptor, or WOW file is interrogated in step 422. If no application descriptor file is detected, a dialog is generated in step 424, on the target computer 110 for the user. The user is requested to enter a partner 15 or subscribing institution. If it is determined that no institution has been entered in step 426, the process aborts. However, if a subscribing institution was entered, the process similarly aborts in step 430, but also points the browser 134 to the Web page for the subscribing institution in step 432.

Next, 434, it is interrogated as to whether the client is monitoring a similar 20 process, *i.e.*, the software player 132 is currently running on the client. If it is not running, the SWP window is created in step 436. Depending on the run mode, the window is either hidden or visible on the client interface. In step 438, any system clean-up is performed. Generally, the operating system registry is written to when applications 133 are run. The software player tracks those modifications, and any 25 registry changes; these changes are undone when the application 133 and software player 132 are quit. However, if the software player 132 was terminated unexpectedly during its last operation, the registry clean-up may not have been performed. If not, the clean-up occurs in this step. Specifically, any modified registry settings are returned, icons are removed, folders in any disk drive are

removed, and any new copies of applications on the desktop are removed. Next, the player is set up on the OS tray.

If it was determined that the SWP is currently monitoring a process and thus invoked, in step 444, the status of the target computer operating system is interrogated in step 444. If too many applications are currently running, a dialog is generated notifying the user in step 446 and the process aborts in step 448. However, if there is sufficient resources to run the application, the new launch application process is started in step 450.

Figs. 5A and 5B show the application launch process.

10 Specifically, the software player 132 reads and decrypts the incoming application descriptor WOW file. To read in the encrypted data, the program uses the baCommandArgs command in the Buddy API. The decryption of the commands is done via the baDecryptText command in the Buddy API.

Once decrypted, the software player 132 checks to see if this is the first time  
15 it has been run on the client computer 110 by checking the computer's internal settings to see if a unique ID has been written to the settings. This is done via the baReadRegString command in Buddy API. If it finds the unique ID, it continues. If it does not find a unique ID, it asks the user for personal information that will be collected for a User Database, in one exemplary implementation.

20 It then creates a WOW data struct in step 510. The version of the application descriptor is then compared to the version of the software player 132 in step 512 to ensure compatibility. If there is no compatibility, a dialog is displayed in step 514 asking the user if they wish to upgrade to a new software player. If the user agrees to upgrade, the new dynamic link libraries (.DLL files) are downloaded from the  
25 server system 112 in step 516. The software player unloads the current dynamic link libraries and updates the DLL's in step 516.

In contrast, if the user chooses not to install the new software player in step 514, the process aborts in step 518, while simultaneously pointing the browser 134 with an upgrade URL to a site hosted by the server system 112 or hosted by another server in step 520.

5        If the process is not aborted, in step 518, the application requirements contained in the application description are compared to the target computer's configuration in step 522. If there are inadequate resources, the process aborts in step 524. Additionally, the browser 134 is pointed toward a web page hosted by the server system providing for maintenance. Specifically, the maintenance URL is

10      passed to the browser in step 526. For example, a minimum or maximum screen depth, resolution, RAM requirements, processor requirements, sound board requirements, and video board requirements are assessed. These checks are supported by the following commands in Buddy API: baVersion("os"), baVersion("qt"), baVersion ("qt3"), baScreenInfo("height"), baScreenInfo("width")

15      and baScreenInfo("depth").

If the user system's resources are determined to be adequate in step 522, a message is sent from the target client computer 110 to the server system over the network 114 in step 528. The message contains the session ID, which was just received from the server system in the application descriptor file. Also, a start

20      request message is sent to the server system. The receipt of the session ID identifies the session and implicitly notifies the server system 112 that the target computer has successfully decrypted the application descriptor file, which had been previously sent. The start request indicates that the target client computer is now ready to begin to execute the requested application.

25      Also, the software player 132 preferably determines, via the application descriptor, the transaction mode being used. This will impact the appearance of the player 134 on the screen or GUI of the computer 110. For example, if the application descriptor identifies itself as an advertisement-based transaction (noted as an "a" in the Application Descriptor), then the software player 132 will respond

by positioning itself at the top level of the screen depth and begin to request advertisements from an advertisement server, within the server system 112, over the network 114. Conversely, if the application descriptor identifies itself as a subscription-based (noted as an "s" in the application descriptor), the software player 5 132 will hide itself, but continue to execute in the background. To hide itself the program uses the baWindowState command in Buddy API. The ads are obtained through hypertext transfer protocol (http) calls.

In step 530, the target client computer 112 then waits for a start request acknowledgment from the server system 112. If no acknowledgment is received 10 after a predetermined time period, a dialog is displayed on the target client computer 110 to notify the user that the server system is currently unavailable in step 532.

If the start request is acknowledged in step 534 by the server system 112, a proxy socket is opened in the target computer 110 and the application server address is passed to the proxy in step 536.

15 Continuing onto Fig. 5B in step 538, the software player 132 determines if any files are required from the server system 112 to continue the launch process. If additional files are required, they can be obtained by initiating a remote drive mounting process in step 540. Alternatively, the files can be obtained using a local file installation and replace process in step 542. Additionally, both processes could 20 be used if multiple files are required.

Certain applications require specific files at specific locations. For example, certain anti-virus programs require virus definitions to exist at specific path. Such hard coded path requirements are addressed in this initial configurations check. A file check is performed and any required files are shipped to the client computer 25 before the application is launched.

With the remote drive mounting and possibly local file installation/replace, the target client computer 110 now has access to the files and specifically the code

-15-

required to invoke the selected application. Next, in step 544, the directory is set to the local or remote drive and the run command is issued to the host server. In one embodiment, this occurs on port 139, the SMB port, from the perspective of the application. Specifically, standard Windows NT remote networking methods are

5 used to attach to the server's directory using the Net Use command, which is part of the Windows Networking.

If the client computer is running the Windows 95-version operating system, there is an additional step taken here. Since Windows 95 computers need to have the name of the server they are attaching to in a file in the Windows directory called

10 LMHOST; the software player 132 writes the name of the server to the LMHOST file using the FileI/O command in Macromedia Director.

The software player 132 then waits for the application window and the update of the stream display in step 548. The window status is acquired by reference to the operating system application programming interface. In the

15 preferred embodiment, where it is operating on a Windows OS platform, the window status is obtained via the WIN API in step 550. The stream data size is obtained from the proxy application in step 552.

In step 554, it is interrogated as to whether or not the application window has opened. Until the window opens, the host server in the server system 112 is

20 periodically pinged. The window timeout is reset as many as three times and as long as the server is responsive to the ping in step 558. If there is no server response to the ping as determined in step 556, the user is notified via the dialog in step 560 and the program aborts in step 562.

If, however, the window opens as determined in step 554, the user interface

25 elements are activated that are specific to the application in step 564. The size and position of the software player and application windows are then set in step 566. At this stage, with the application running on the operating system of the target client computer 110, the process proceeds to an application monitoring in step 568.

In the preferred embodiment, there are six processes that are performed to monitor the application: application window monitoring, tracking pulse monitoring, advertising updating, net traffic monitoring, count-down timing, and user event handling.

5 Fig. 6A illustrates the steps associated with application window monitor process and the tracking pulse process.

Specifically, while the selected application is executing, the client computer multitasks to also monitor the operation of the application. One of the processes is the application window monitor process 610. Specifically, the application window monitor process 610 periodically makes API calls to determine whether or not the application's window is still open in step 612. If the window is open, it continues to maintain and/or set the position and layer of the windows of the application 133 and the software player 132 with respect to each other in step 614 according to the transaction mode. However, if the application window monitor process 610 determines that the application window has closed, the software player 132 begins the execution of a shutdown process 616.

The tracking pulse process 618 periodically sends a pulse or a ping to the host server of the server system 112 in step 620. If it is determined that no pulse has been received in step 622, the target client computer 110 pings the host server of the server system in step 624. Based on the status of the ping, if it is determined that there is no connection to the server, a dialog is generated in step 626 and there is a forced shutdown of the application process in step 628, and again, the shutdown process is activated 616. If the ping is successfully sent to the server, but no response is received, a dialog is generated in step 628. Again, a "no response" dialog is generated in step 630 and the shut down process is activated in step 616.

In other implementations, tracking is not provided by sending pulses; instead, the application server monitors socket connections to determine if connections are still active. From the client side, instead of the server telling the

client to shut down, the client gets its "total time to run" as part of the .wow file and begins counting down -- and eventually shuts down -- once it hits zero time.

In contrast, if it is determined that the pulse is received in step 622, the message is analyzed. If it is determined that the message is to turn off the

5 application in step 632, the application process is terminated in step 628 and the shut down process is activated, step 616.

If the message returned that the application must be terminated within n minutes, a dialog is generated in step 634, notifying the user of the remaining minutes of access to the application. A countdown timer is started in step 636.

10 Finally, if the message returned is an all clear or o.k. message in step 632, process returns.

Fig. 6B shows the advertisement update process, net traffic monitoring process, and countdown timer process, which are additionally performed as part of the application monitoring.

15 Specifically, the ad update process periodically updates the ads displayed on the software player and any URL's required for the ad server in step 640. It then returns to the run mode of the ad process in step 642.

If the transaction mode is advertisement-based, the software player will maintain a +1 depth relationship with the application's window. This means that if

20 the application 133 is brought to the front, the software player 132 will place itself in front of the application 133 so the application cannot hide the advertisements being served. If a different application or window, *i.e.*, one not being hosted by the server system 112, is brought to the front, the software player 132 will not obscure the application or window. It will maintain its +1 depth relation to the application 133.

25 This is accomplished via the baWindowDepth command in Buddy API. Also, the player is monitored so that it is not moved off the screen.

Step 644 monitors network activity and notifies the net traffic monitoring process in step 646. This allows the application monitor to determine if there are any problems associated with high traffic, which would impact the operation of the application.

- 5        In step 648, the display countdown timer is updated. This countdown timer notifies the user as to the time remaining in which the application is available. This is most relevant where the user has, for example, "rented" the application for a fixed period of time as indicated by the transaction mode. The countdown timer updates the countdown timer process 650 so that a shut down process is automatically activated when the timer has timed-out.
- 10

Fig. 6C illustrates event handling process 652 of the application monitoring processes. Specifically, if the bookmark is selected in step 654, the URL of the third-party application hosting institution and its server system 112 is added to the start menu folder of the browser 132.

- 15        Currently, the bookmarking feature is termed "Quick Launch" -- instead of adding it to the start menu folder system, it gets book-marked as part of a screen in the player -- the one that comes up if you click on Quick Launch. It remembers the location from where you initially clicked, thus guaranteeing the web site that they will still get ad revenue and a follow-up page each time the user clicks on the Quick Launch bookmark.
- 20

If the help button is selected in step 656, a help file is displayed. The browser 134 is pointed to a URL of a help file server in step 658. If the third party home is selected in step 660, the browser is pointed to the URL or a specified URL of the subscribing institution in step 662. If the home button is selected in step 664, the browser 134 is pointed to the home page of the third-party application hosting system in step 666. If the ad, which is displayed by the player, is selected in step 668, the browser is pointed to the URL of the advertising company in step 670. Finally, if the quit button is selected in step 672, the application is forced to

- 25

terminate in step 674 and the shutdown process is started in step 676.

Fig. 7 is a flow diagram illustrating the application shutdown process. Specifically, if the application 133 is desired to be shutdown or quit in step 710, a shutdown pulse or signal is sent from the client computer 110 to the host server of 5 the server system 112 in step 712. Any remnants of the application program are then removed from the operating system 135 and local drives generally, in step 714. Specifically, any modified registry settings are returned, icons are removed, folders in any disk drive are removed, and any new copies of applications on desktop are removed.

10 Finally, in the preferred embodiment, a follow-up URL is sent to the browser 134 in step 718. In the preferred embodiment, this follow-up URL is for the subscribing institution and is typically hosted by the web server 130, allowing it to follow with a "sales pitch" or to solicit for further purchase of goods and/or services. This allows, in some implementations, the third-party application hosting to be 15 transparent to the user at the target computer. Finally, any remaining monitoring processes are identified in step 720, and the monitoring processes are terminated in step 722.

Finally, in step 724, the application is quit and the software player is shut down in step 726.

20 While this invention has been particularly shown and described with references to preferred embodiments thereof, it will be understood by those skilled in the art that various changes in form and details may be made therein without departing from the scope of the invention encompassed by the appended claims.

## CLAIMS

What is claimed is:

1. A method for serving applications over a computer network from an application server system to a target computer, the method comprising:
  - 5 the target computer signaling the server system with a request for an application;
  - the server system responding to the request by transferring an application descriptor to the target computer;
  - the application descriptor being read by a helper application executing on the target computer; and
  - 10 the helper application controlling the target computer to execute the application, which resides on the server system.
2. A method as described in Claim 1, further comprising the target computer signaling the server system with the request for the application by user selection of a link, which is displayed by a browser and associated with the application.
  - 15
3. A method as described in Claim 2, further comprising the application link containing an application identifier that identifies the requested application to the server system.
  - 20
4. A method as described in Claim 2, further comprising the link pointing the browser to the server system.
  - 25
5. A method as described in Claim 2, wherein activating the application link triggers the downloading of the application descriptor from the server system to the target computer.

-21-

6. A method as described in Claim 1, further comprising the server system encrypting the application descriptor prior to transmission to the target computer.
7. A method as described in Claim 1, further comprising invoking the helper application in response to the receipt of the application descriptor on the target computer.  
5
8. A method as described in Claim 1, further comprising maintaining the helper application on a graphical user interface of the target computer.
9. A method as described in Claim 1, further comprising maintaining the helper application on a graphical user interface of the target computer to display advertisements.  
10
10. A method as described in Claim 1, further comprising issuing a command to a browser to display a follow-up page in response to termination of the application on the target computer.
11. A method as described in Claim 1, further comprising including, in the application descriptor, minimum system requirements information, which is used by the target computer to ensure that adequate system resources are available to run the application.  
15
12. A method as described in Claim 11, wherein the application descriptor contains transaction mode information.  
20
13. A method as described in Claim 11, wherein the application descriptor contains application server information indicating a host computer to which the target computer is to attach to receive the application.

14. A method as described in Claim 11, wherein the application descriptor contains advertisement information indicating a host computer to which the target computer is to attach to receive advertisements.
15. A method as described in Claim 1, further comprising tracking by the server system a status of the operation of the application on the target computer.  
5
16. A method as described in Claim 1, further comprising a failure server of the application server system receiving error log information from the helper application in response to improper operation of the application on the target computer.
- 10 17. A method as described in Claim 1, further comprising the application descriptor containing application server information indicating a host computer of application server system to which the target computer is to attach to receive the application, the host computer being selected to load-balance across the application server system.
- 15 18. A method as described in Claim 1, further comprising the target computer mounting the server system to access the application.  
19. A method as described in Claim 1, further comprising the target computer mounting the server system to access the application using an SMB protocol.
20. An application serving system operating across a computer network, the system comprising:  
20  
a target computer that requests an application;  
a server system that responds to the request by transferring an application descriptor to the target computer;  
a helper process executing on the target computer that reads  
25 the application descriptor and controls the target computer to execute the application, which resides on the application server system.

21. A system as described in Claim 20, wherein the target computer is activated to signal the server system with the request for the application by user selection of a link, which is displayed by a browser and associated with the application.
- 5 22. A system as described in Claim 21, wherein the application link contains an application identifier that identifies the requested application to the server system.
23. A system as described in Claim 21, wherein the link points the browser to the server system.
- 10 24. A system as described in Claim 20, wherein activating the application link triggers the downloading of the application descriptor from the server system to the target computer.
25. A system as described in Claim 20, wherein the server system encrypts the application descriptor prior to transmission to the target computer.
- 15 26. A system as described in Claim 20, wherein the helper process is invoked in response to the receipt of the application descriptor on the target computer.
27. A system as described in Claim 20, wherein the helper process is maintained on a graphical user interface of the target computer.
28. A system as described in Claim 20, wherein the helper application is  
20 maintained on a graphical user interface of the target computer to display advertisements.
29. A system as described in Claim 20, wherein a command is issued to a browser to display a follow-up page in response to termination of the application on the target computer.

30. A system as described in Claim 20, wherein the application descriptor contains minimum system requirements information, which is used by the target computer to ensure that adequate system resources are available to run the application.
- 5 31. A system as described in Claim 20, wherein the application descriptor contains transaction mode information.
32. A system as described in Claim 20, wherein the application descriptor contains application server information indicating a host computer to which the target computer is to attach to receive the application.
- 10 33. A system as described in Claim 20, wherein the application descriptor contains advertisement information indicating a host computer to which the target computer is to attach to receive advertisements.
34. A system as described in Claim 20, wherein the server system tracks a status of the operation of the application on the target computer.
- 15 35. A system as described in Claim 20, further comprising a failure server of the application server system to receives error log information from the helper application in response to improper operation of the application on the target computer.
36. A system as described in Claim 20, wherein the application descriptor 20 contains application server information indicating a host computer of application server system to which the target computer is to attach to receive the application, the host computer being selected to load balance across the application server system.
37. A system as described in Claim 20, further comprising the target computer 25 mounting the server system to access the application.

1/10

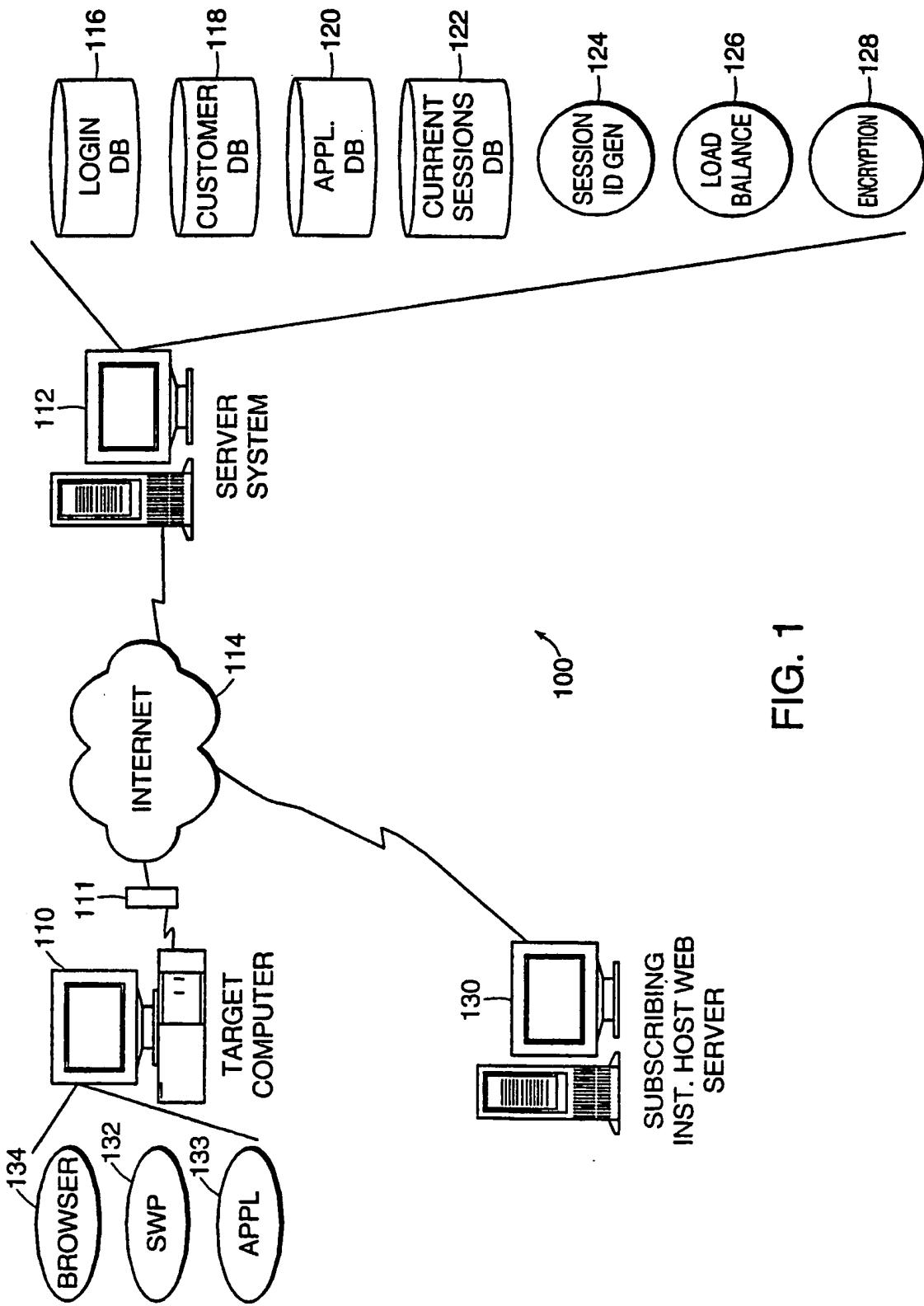


FIG. 1

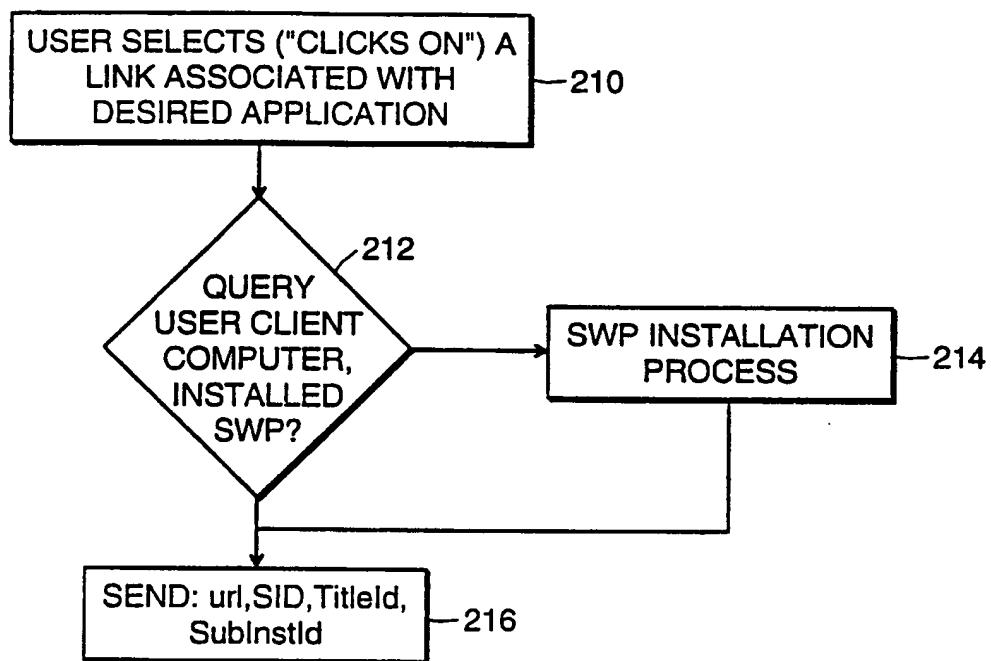


FIG. 2

3/10

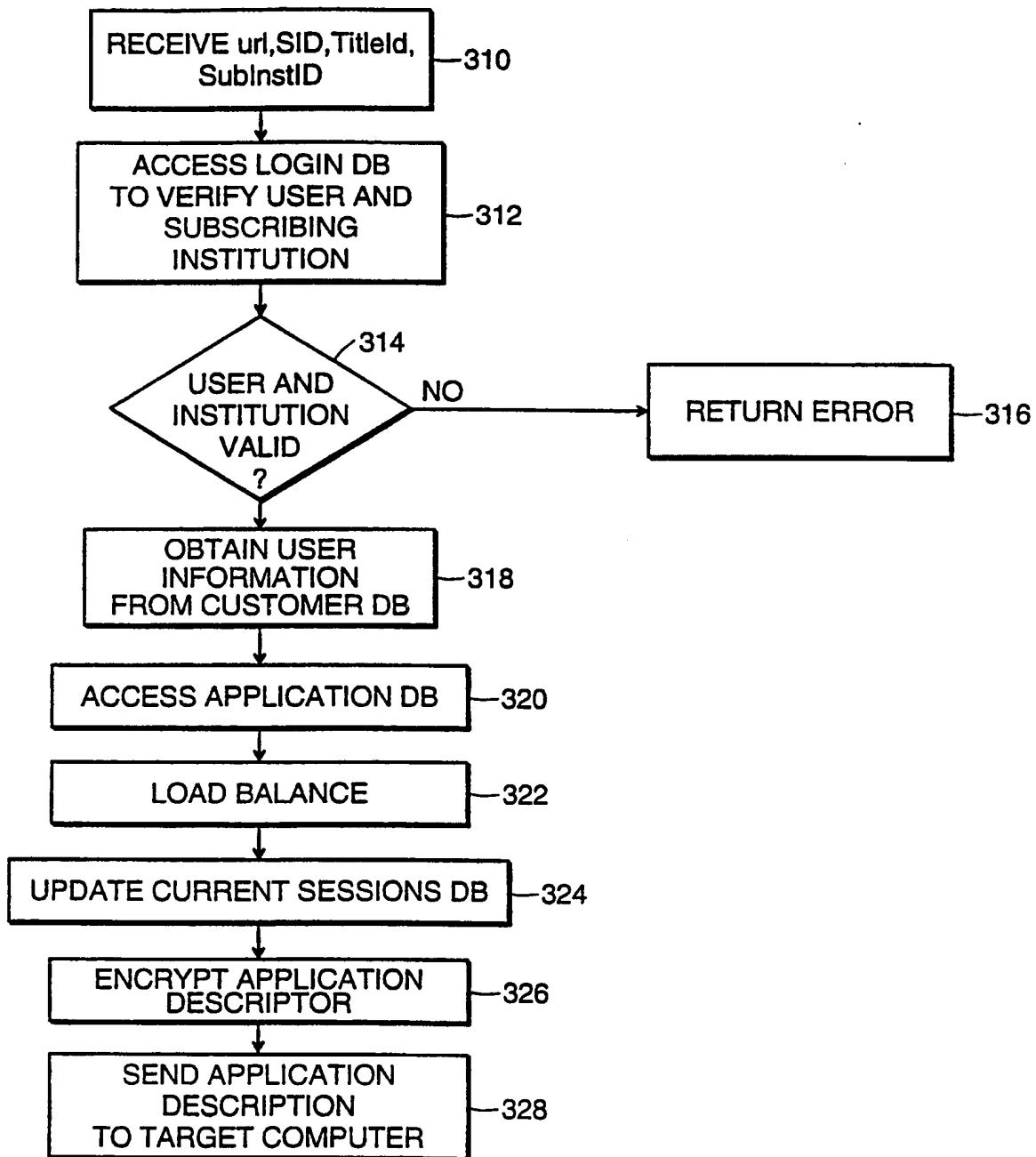


FIG. 3

## CLIENT LAUNCH PROCESS

4/10

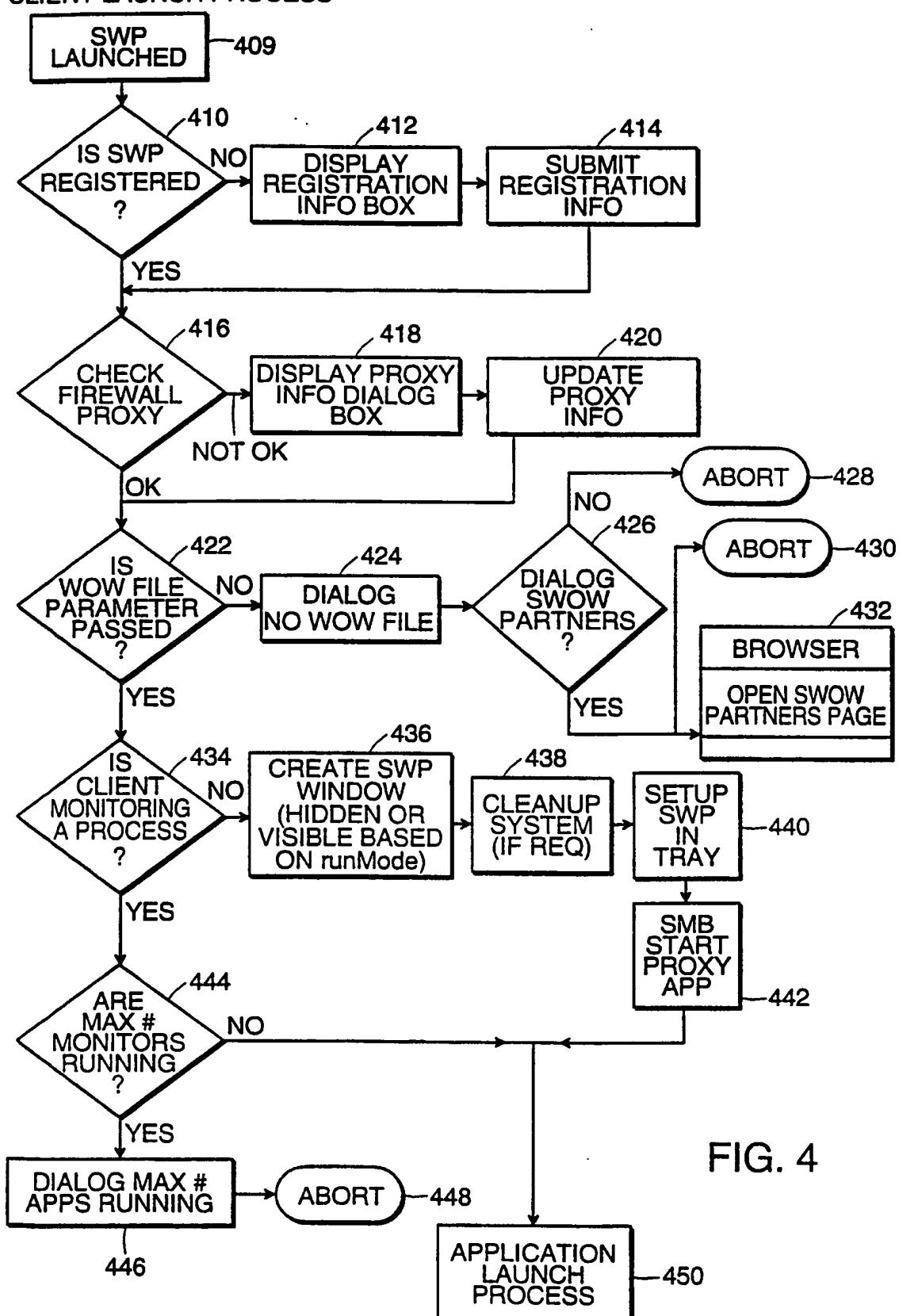
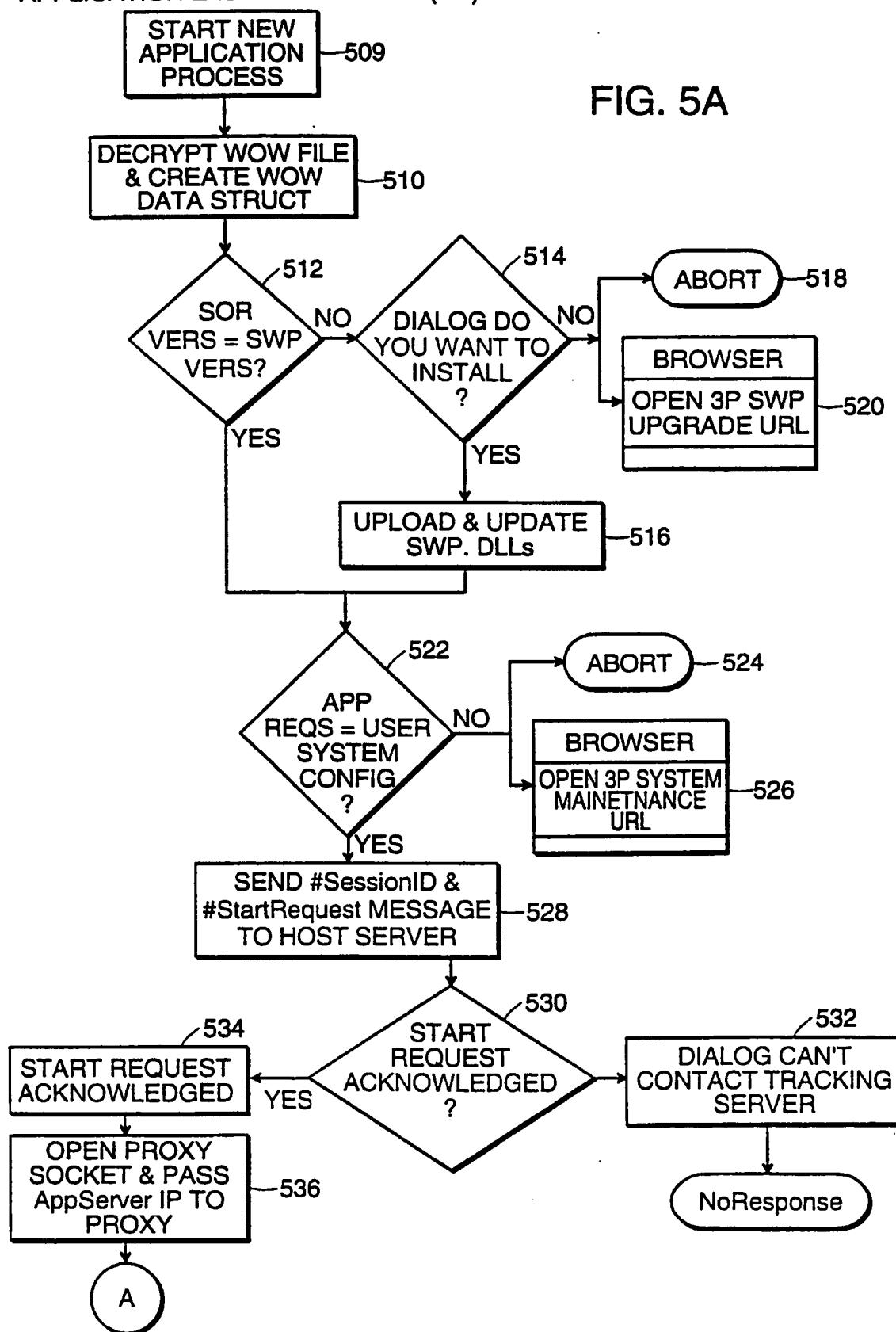


FIG. 4

## APPLICATION LAUNCH PROCESS (1/2)



## APPLICATION LAUNCH PROCESS (2/2)

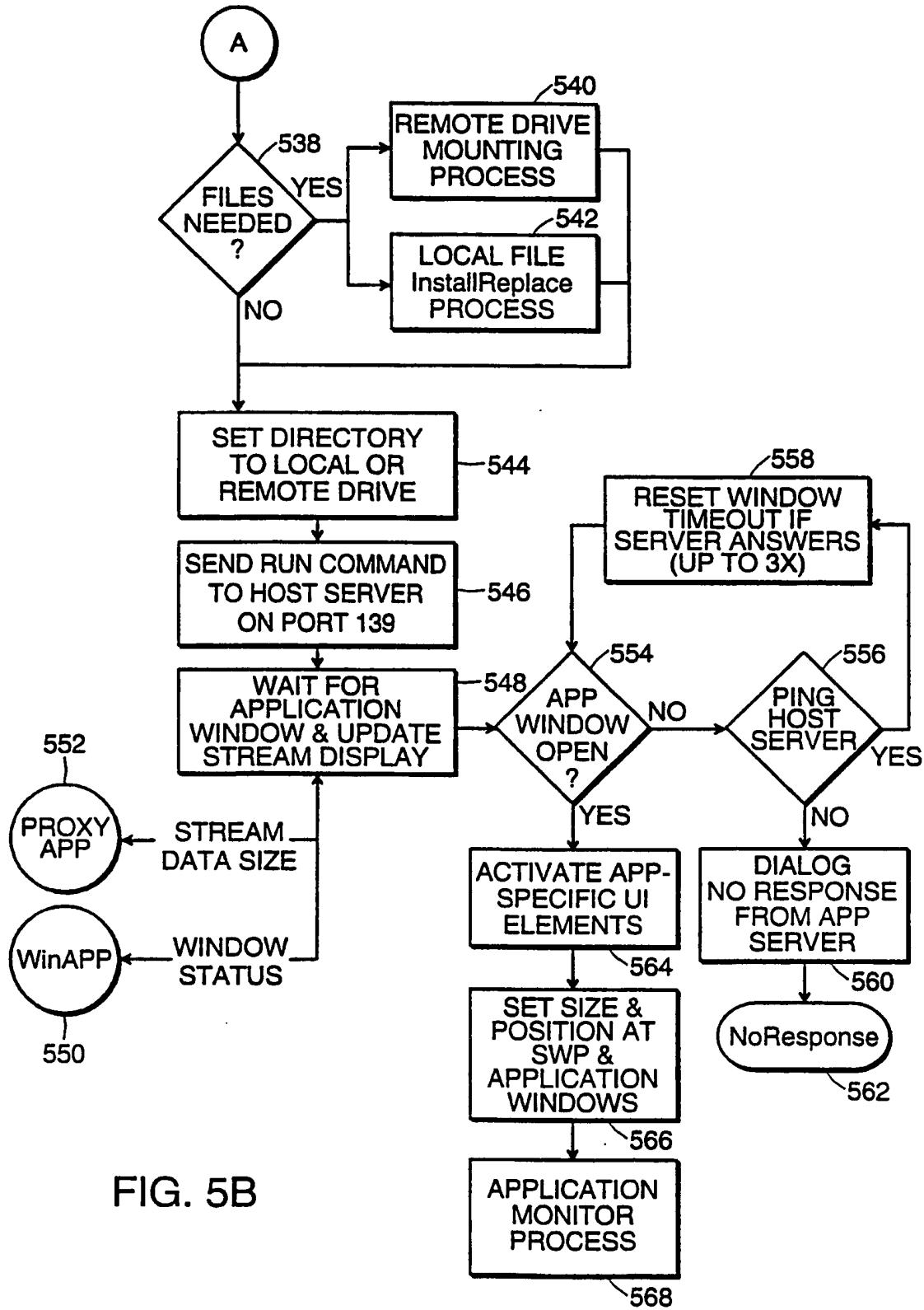


FIG. 5B

7/10  
APPLICATION MONITORING PROCESSES (1/3)

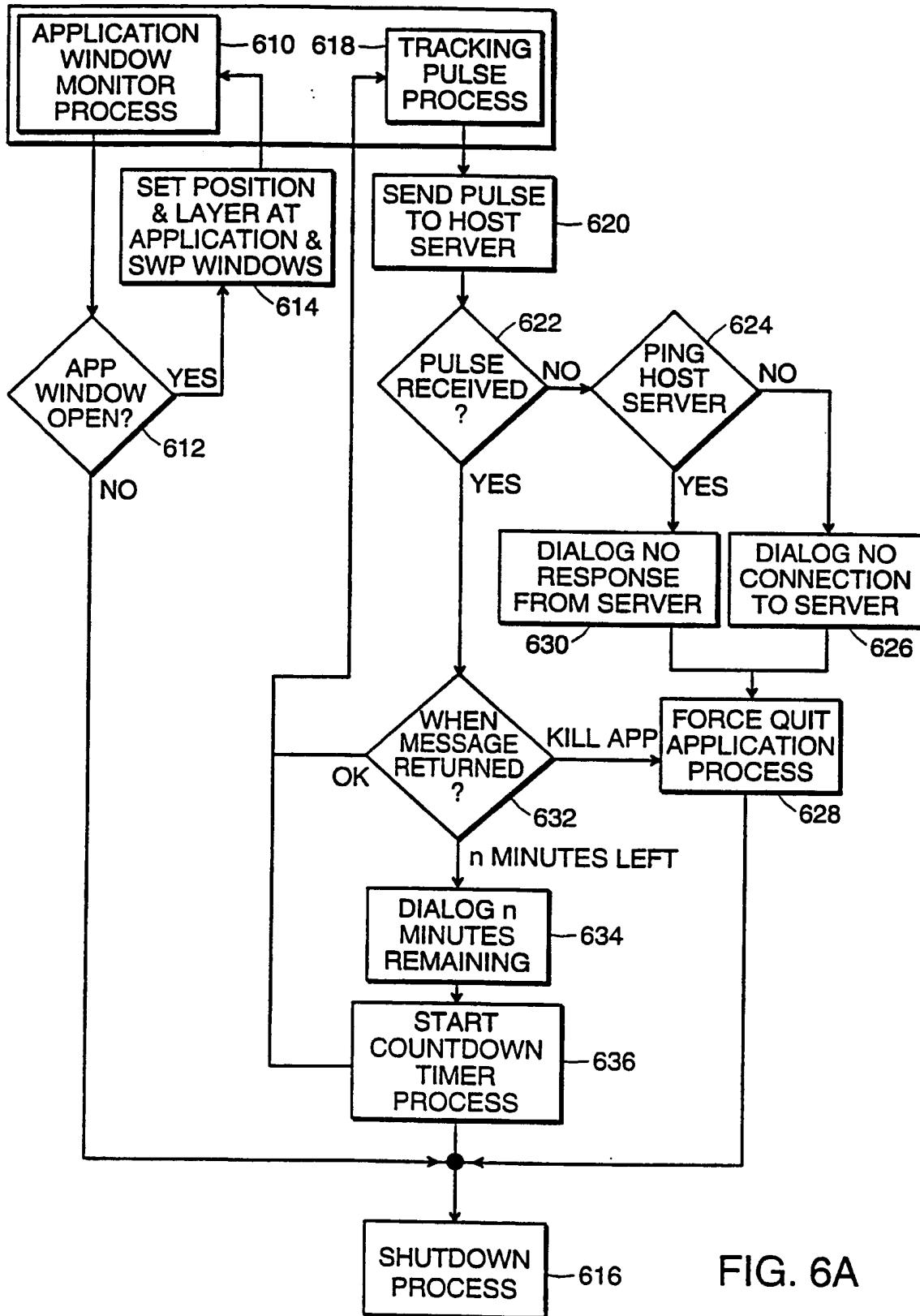


FIG. 6A

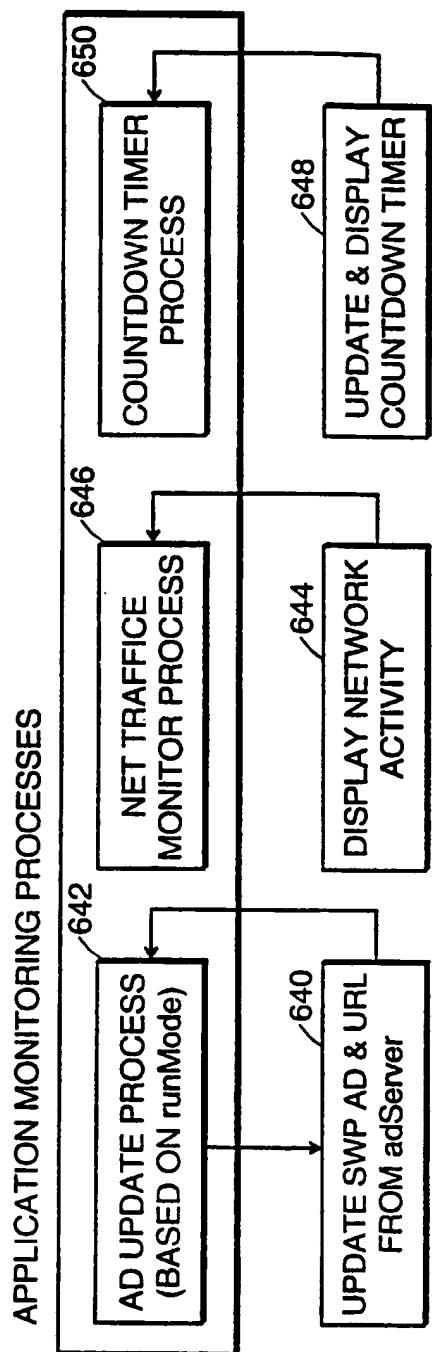


FIG. 6B

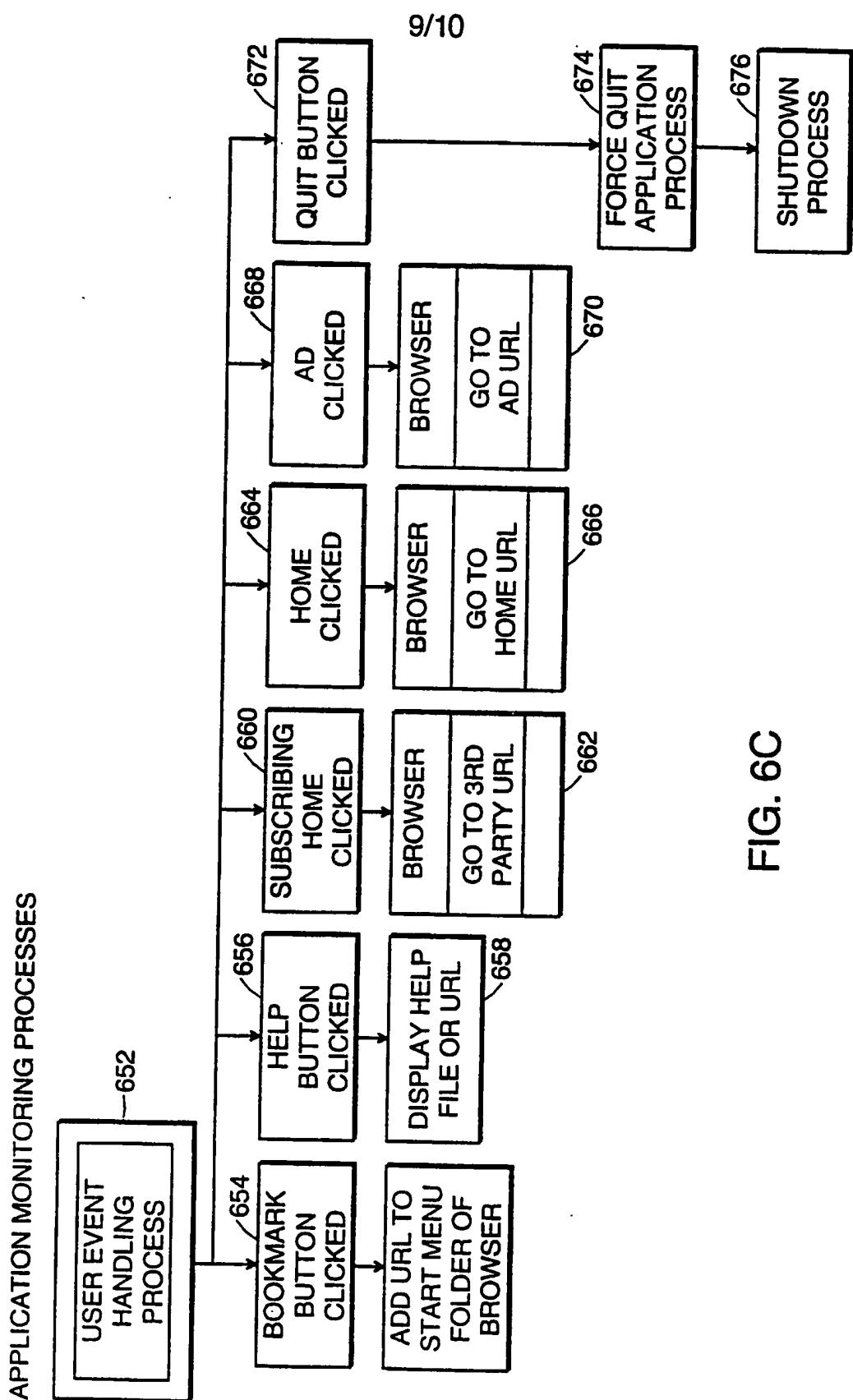


FIG. 6C

10/10

## APPLICATION SHUTDOWN PROCESS

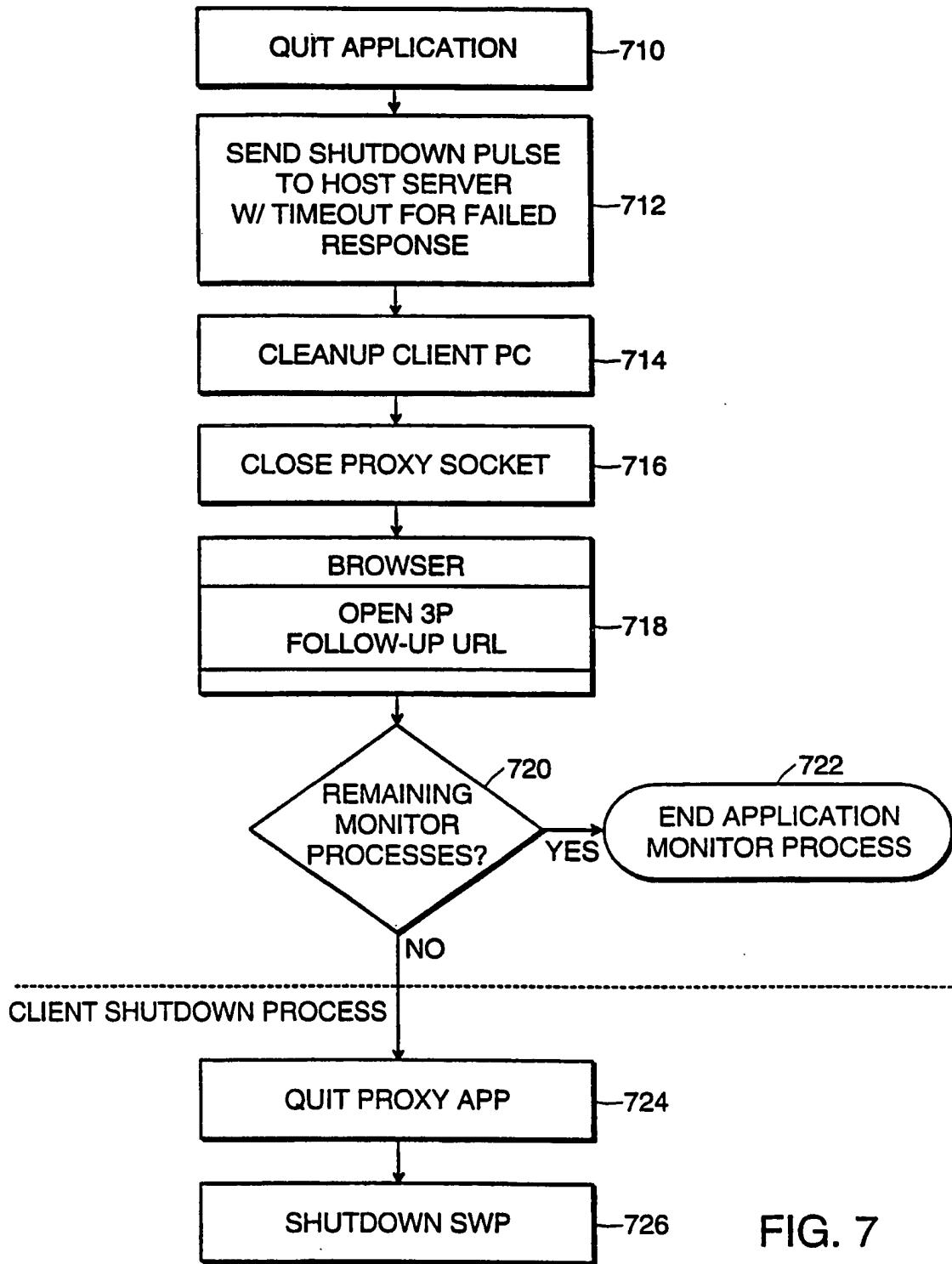


FIG. 7

(12) INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
19 October 2000 (19.10.2000)

PCT

(10) International Publication Number  
**WO 00/62161 A3**

(51) International Patent Classification<sup>7</sup>: G06F 9/50, 9/445

(21) International Application Number: PCT/US00/09833

(22) International Filing Date: 12 April 2000 (12.04.2000)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:  
60/128,828 12 April 1999 (12.04.1999) US

(71) Applicant (*for all designated States except US*): SOFTWAREWOW.COM, INC. [US/US]; 332 Congress Street, 5th floor, Boston, MA 02210 (US).

(72) Inventors; and

(75) Inventors/Applicants (*for US only*): GRESCHLER, David, M. [US/US]; 28 Laurel Road, Sharon, MA 02067 (US). MYSLIWY, Owen [US/US]; 7 Melvin Avenue, Beverly, MA 01915 (US). SCHAEFER, Stuart [US/US]; 25 Atherton Street, No. 7, Somerville, MA 02143 (US).

(74) Agents: HOUSTON, J., Grant et al.; Hamilton, Brook, Smith & Reynolds, P.C., Two Militia Drive, Lexington, MA 02421 (US).

(81) Designated States (*national*): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, CA, CH, CN, CR, CU, CZ, DE, DK, DM, DZ, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.

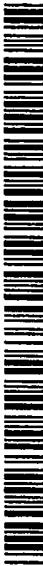
(84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, SD, SL, SZ, TZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).

Published:

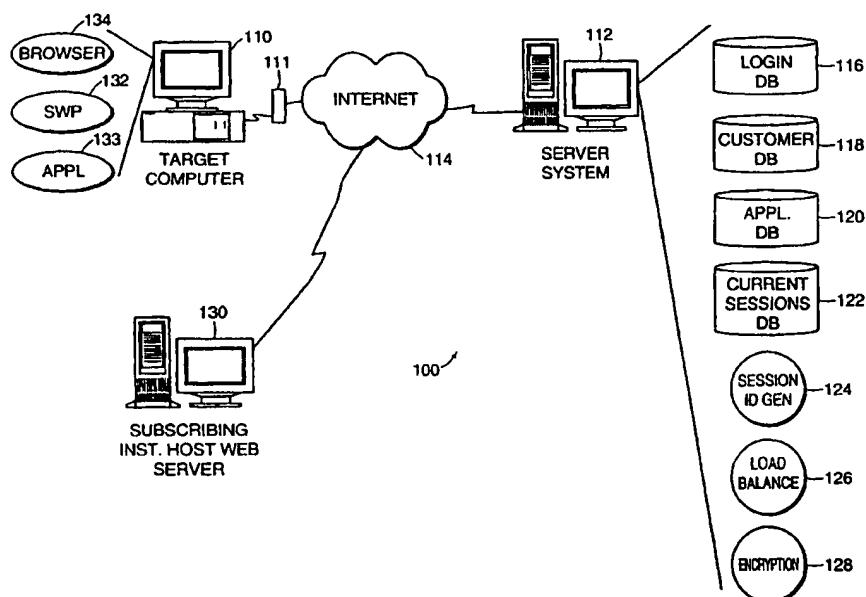
- *With international search report.*
- *Before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments.*

*[Continued on next page]*

(54) Title: METHOD AND SYSTEM FOR SERVING SOFTWARE APPLICATIONS



**WO 00/62161 A3**



(57) Abstract: A method and system for serving software applications to remote clients across the internet, for example, is disclosed that preferably utilizes standard, SMB (server message block) protocols, which are available in commercial operating systems. Further, an associated business method is described in which subscribing institutions can out-source the application serving to a third party institution, transparently.

WO 00/62161 A3



(88) Date of publication of the international search report:  
1 March 2001

*For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

# INTERNATIONAL SEARCH REPORT

Intern'l Application No  
PCT/US 00/09833

**A. CLASSIFICATION OF SUBJECT MATTER**  
IPC 7 G06F9/50 G06F9/445

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 G06F H04L

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, WPI Data, INSPEC, COMPENDEX, IBM-TDB

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 0 778 512 A (SUN MICROSYSTEMS INC) 11 June 1997 (1997-06-11)	1-8, 11, 20-27, 30
Y		15-17,
A	abstract column 2, line 16 - line 44 column 4, line 20 -column 5, line 3 column 5, line 44 -column 6, line 39 column 7, line 15 -column 13, last line ---- -/-	19, 34-36 9, 10, 13, 18, 28, 29, 32, 37

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

\* Special categories of cited documents :

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*&\* document member of the same patent family

Date of the actual completion of the international search	Date of mailing of the international search report
11 December 2000	18/12/2000
Name and mailing address of the ISA European Patent Office, P.B. 5818 Patentlaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Tx. 31 651 epo nl. Fax: (+31-70) 340-3016	Authorized officer  Archontopoulos, E

**INTERNATIONAL SEARCH REPORT**

Internat'l Application No

PCT/US 00/09833

**C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT**

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	WO 98 07085 A (SMITH BENJAMIN HEWITT ; SMITH FRED HEWITT (US); BEN SMITH INC (US)) 19 February 1998 (1998-02-19)	15-17, 19,34-36
A	<p>abstract</p> <p>page 1, line 5 - line 8</p> <p>page 4, line 9 -page 5, line 14</p> <p>page 7, line 19 -page 9, line 19</p> <p>page 10, line 23 - line 27</p> <p>page 13, line 5 -page 15, line 19</p> <p>page 17, line 15 - line 23</p> <p>---</p> <p>DÖMEL P.: "MOBILE TELESCRIPT AGENTS AND THE WEB"</p> <p>DIGEST OF PAPERS OF THE COMPUTER SOCIETY COMPUTER CONFERENCE COMPCON, US, LOS ALAMITOS, IEEE COMPUTER SOCIETY PRESS, vol. CONF. 41, 25 February 1996 (1996-02-25), pages 52-57, XP000628465</p> <p>ISBN: 0-8186-7414-8</p> <p>page 53, right-hand column, paragraph 3.1</p> <p>-page 55, left-hand column, line 3</p> <p>page 55, left-hand column, line 22 - line 23</p> <p>page 56, right-hand column, line 16 - line 28</p> <p>---</p> <p>EVANS E., ROGERS D.: "USING JAVA APPLETS AND CORBA FOR MULTI-USER DISTRIBUTED APPLICATIONS"</p> <p>IEEE INTERNET COMPUTING, US, IEEE SERVICE CENTER, PISCATAWAY, NJ, vol. 1, no. 3, May 1997 (1997-05)</p> <p>- June 1997 (1997-06), pages 43-55, XP002080603</p> <p>ISSN: 1089-7801</p> <p>page 43, right-hand column, last line</p> <p>-page 44, left-hand column, line 7</p> <p>page 46, right-hand column, line 23 -page 47, right-hand column, line 13</p> <p>page 48, right-hand column, line 35 -page 49, left-hand column, line 15</p> <p>-----</p>	1,15,16, 20,34,35  1,8,20, 27  1,20

**INTERNATIONAL SEARCH REPORT**

## Information on patent family members

International Application No

PCT/US 00/09833

Patent document cited in search report	Publication date	Patent family member(s)		Publication date
EP 0778512 A	11-06-1997	US JP	5708709 A 9288575 A	13-01-1998 04-11-1997
WO 9807085 A	19-02-1998	US AU EP	6067582 A 3793997 A 0978023 A	23-05-2000 06-03-1998 09-02-2000

**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

## **BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- BLACK BORDERS**
- IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- FADED TEXT OR DRAWING**
- BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- SKEWED/SLANTED IMAGES**
- COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- GRAY SCALE DOCUMENTS**
- LINES OR MARKS ON ORIGINAL DOCUMENT**
- REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**